

**Superfund/Oil Program Implementation Manual FY 02/03**

**Appendix G: Government Performance and Results Act (GPRA)**

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## Appendix G Government Performance and Results Act (GPRA)

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## **Appendix G**

### **Government Performance and Results Act (GPRA)**

#### ***G.A GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA) OF 1993***

Superfund's program planning and reporting requirements have evolved and matured from intricate, internally focused measures, to aligning and measuring resources with activities and reporting the environmental outcomes of the work undertaken at hazardous waste sites. The National Goals Project of 2005 and the Chief Financial Officer's (CFO) Act started the evolution of Superfund program management by shifting the focus from tracking administrative and program outputs to a results-oriented future (e.g., Superfund Environmental Indicators) in which the program is held accountable for its actions. Superfund has continued its evolution towards more outcome-oriented measures under the Congressionally mandated GPRA, which provides the overarching principles for Superfund program management.

#### ***Background***

In 1993, Congress enacted the Government Performance and Results Act of 1993 (Public Law 103-62) based on its findings that:

- Waste and inefficiency in Federal programs undermine the confidence of the American people in the government and reduces the Federal government's ability to adequately address vital public needs;
- Federal managers are seriously disadvantaged in their efforts to improve program efficiency and effectiveness because of insufficient articulation of program goals and inadequate information on program performance; and
- Congressional policy making, spending decisions, and program oversight are seriously handicapped by insufficient attention to program performance and results.

The purposes of the Act are to:

- Improve the confidence of the American people in the capability of the Federal government, by systematically holding Federal agencies accountable for achieving program results;
- Initiate program performance reform with a series of pilot projects in setting program goals, measuring program performance against those goals, and reporting publicly on their progress;
- Improve Federal program effectiveness and public accountability by promoting a new focus on results, service, quality, and customer satisfaction;
- Help Federal managers improve service delivery, by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality;
- Improve Congressional decision making by providing more objective information on achieving statutory objectives, and on the relative effectiveness and efficiency of Federal programs and spending; and
- Improve internal management of the Federal government.

To carry out the provisions of GPRA, agencies are required to generate strategic plans, annual performance plans, and annual program performance reports.

### **G.A.1 Strategic Plan Requirements**

Agencies were required to submit their first strategic plan no later than September 1997. The strategic plan must be updated once every three years or when there are significant policy, programmatic, or other changes to any element of the current plan. Minor changes to the strategic plan can be incorporated in advance of the three-year cycle by including the changes in the annual performance plan.

The strategic plan covers a minimum period of six years, beginning in the fiscal year that it is written. The first EPA strategic plan was published in September 1997 and covered the nine years of FY 1997 through FY 2005. The latest strategic plan was published in September 2000 and covers the six years of FY 2000 through FY 2005. Strategic plan elements required by GPRA are as follows:

#### ***a. Comprehensive Mission Statement***

The mission statement is a brief statement which defines the basic purpose of the agency. It focuses on the core programs and activities, including a brief discussion of the enabling or authorizing legislation and issues Congress specifically charged the agency to address.

#### ***b. General Goals and Objectives***

The strategic plan documents the long-term programmatic, policy, and management goals of the agency, including the planned accomplishments and the schedule for their implementation. The general goals and objectives elaborate how the agency will carry out its mission. To the extent possible, this should be in the form of outcome-type goals. In the EPA strategic plan objectives are broken down into subobjectives to address specific issues not captured in the broad objective statements. These subobjectives correspond with program result codes (PRCs) in the EPA planning and budget structure.

The criteria for the general goals and objectives are as follows: (a) the goals/objectives need to be precise in order to direct and guide the staff to fulfill the mission of the agency; (b) the goals/objectives should be within the agency's span of influence; and (c) the goals/objectives should be defined in a manner that allows future assessment to be made on whether the goals/objectives were or are being achieved.

#### ***c. Description of How General Goals and Objectives Will Be Achieved***

This section describes the means the agency will use to meet the general goals and objectives. This includes, when applicable: (a) operational processes; (b) skills and technologies; and (c) human, capital, information, and other resources.

#### ***d. Relationship Between Goals in the Annual Performance Plan and in a Strategic Plan***

The strategic plan should briefly outline: (a) the type, nature, and scope of performance goals to be included in a performance plan; (b) the relationship between the performance goals and the general goals and objectives; and (c) the relevance and use of performance goals in helping determine the achievement of general goals and objectives.

#### ***e. Key Factors Affecting Achievement of General Goals and Objectives***

The strategic plan identifies key external factors that are beyond the Agency's control that could significantly affect the achievement of the general goals and objectives. The external factor needs to be linked to a goal(s) and describe how the achievement of the goal could be affected by the factor.

***f. Program Evaluations***

Program evaluations that were used in preparing the strategic plan should be briefly described. Also, a schedule for future program evaluations needs to be included.

Development of the strategic plan is considered to be an inherently governmental function; therefore, it can only be performed by Federal employees.

**G.A.2 Annual Performance Plan**

Agencies submit an annual performance plan to Congress with the enacted operating plan for each fiscal year. The performance plan includes:

***a. Performance Goals***

Objective, quantifiable, and measurable performance goals that define the level of performance to be achieved by a program activity. At EPA these are called annual performance goals (APGs).

***b. Resources***

A brief description of the operational processes, skills and technology, and the human, capital, information, or other resources required to meet performance goals.

***c. Performance Indicators***

Performance indicators to assess the relevant outputs, service levels, and outcomes of each activity. At EPA these are called annual performance measures (APMs).

***d. Verification and Validation***

A basis for comparing actual program results with the established performance goals, and a description of the methodology to be used to verify and validate measured values.

The development of the annual performance plan is considered to be an inherently governmental function; therefore, it can only be performed by Federal employees.

**G.A.3 Annual Performance Report**

Agencies are required to submit an annual performance report to the President and Congress no later than March 31 of each year. The performance report includes:

- The performance indicators in the agency performance plan with a comparison of the program performance achieved against the performance goal(s) that were set;
- A review of the success in achieving the performance goals;
- An assessment of the performance plan for the current fiscal year relative to the performance achieved in the preceding fiscal year;
- An explanation and description where a performance goal was not met, of: (a) why the goal was not met, (b) plans and schedules for achieving the performance goal; or (c) recommended action if the performance goal is impractical or infeasible (e.g., current or future funding is inadequate, an unforeseen occurrence impedes achievement);

- A description of the use and effectiveness of a managerial flexibility waiver in achieving the performance goal;
  - An indication of any individual or organizational consequences resulting from a failure, after using the waiver, to maintain the previous level of performance;
  - A brief explanation of the reasons for suspending or ending prematurely any waiver that was in effect for the fiscal year;
- A summary of the program evaluations completed during the fiscal year;
- Performance trend data for the three preceding fiscal years. These data will phase into the report (e.g., for FY 00, FY 99 data; for FY 01, FY 99 - FY 00 data; for FY 02, FY 99 - 01 data; for FY 03, FY 00 - 02 data); and
- An acknowledgment of the role and a description of the contributions made by non-Federal entities in the preparation of the report.

Development of the annual performance report is considered to be an inherently governmental function; therefore, it can only be performed by Federal employees.

### ***G.B. SUPERFUND/OIL GPRA STRUCTURE***

The following is EPA's planning and budgeting architecture for Superfund and Oil appropriations. Also, included are the performance measures for brownfields which, in FY 2003, are proposed for funding under EPM and STAG appropriations. These correspond to the September 2000 strategic plan, with projected annual performance goals and measures contained in the FY 2003 budget request. Changes to both the architecture and annual performance goals and measures may occur if a new strategic plan is written or as part of the FY2003 enacted operating plan process. The strategic plan and FY 2003 budget request can be found on the EPA internet at <http://www.epa.gov/ocfopage/>. The numerical goals indicated in each APG are national. Regions negotiate their own specific targets with Headquarters during the annual work planning sessions held in mid-October.

#### **Goal 5 - Better Waste Management, Restoration of Contaminated Waste Sites, and Emergency Response**

America's wastes will be stored, treated, and disposed of in ways that prevent harm to people and to the natural environment. EPA will work to clean up previously polluted sites, restore them to uses appropriate for surrounding communities, and respond to and prevent waste-related or industrial accidents.

#### **Objective 5.1 - Control Risks from Contaminated Sites and Respond to Emergencies**

By 2005, EPA and its Federal, State, Tribal and local partners will reduce or control the risk to human health and the environment at more than 374,000 contaminated Superfund, RCRA, Underground Storage Tank (UST) and brownfields sites and have the planning and preparedness capabilities to respond successfully to all known emergencies to reduce the risk to human health and the environment.

#### **Subobjective 5.1.2 - Reduce Risks from Superfund Sites**

##### **Superfund Removal Response Actions**

Annual Performance Goal: In FY 2003, EPA will conduct 275 Superfund removal response actions for a cumulative total of 7,138 removal response actions since 1982.

Measure: Removal response actions.

Measure: Amount of liquid based waste removed.

Measure: Amount of solid waste removed.



### **Superfund Cleanups**

Annual Performance Goal: In FY 2003, EPA and its partners will complete 40 Superfund cleanups (construction completions).

Measure: Construction completions.

Annual Performance Goal: In FY 2003, EPA and its partners will make final Superfund site assessment decisions on 475 additional sites for a cumulative total of 38,032.

### **Tribal Cleanup Assistance**

Annual Performance Goal: In FY 2003, EPA will continue to emphasize increasing the number of Indian tribes participating in the Superfund program, as expressed through the number of tribes supported by Superfund cooperative agreements with tribes and intertribal consortia.

Measure: Site assessments (PA/SI) conducted in Indian country.

Measure: The number of tribes supported by cooperative agreements with tribes/intertribal consortia.

Measure: Funding provided for building tribal capacity.

Measure: Percentage of Superfund sites impacting Indian country where a tribe is involved as either the lead or support agency.

### **Superfund Intermediate Cleanup Indicators**

Annual Performance Goal: In FY 2003, EPA will increase the number of Superfund hazardous waste sites with human exposures and migration of contaminated groundwater under control.

Measure: Superfund hazardous waste sites with human exposures under control.

Measure: Superfund hazardous waste sites with groundwater migration under control.

## **Subobjective 5.1.3 - Conduct Superfund Enforcement**

### **Superfund Cost Recovery**

Annual Performance Goal: In FY 2003, EPA will ensure trust fund stewardship by getting PRPs to initiate or fund the work and recover costs from PRPs when EPA expends trust fund monies. Address cost recovery at Superfund sites with a statute of limitations (SOL) on total past costs equal to or greater than \$200,000.

Measure: Addressed 100% of Statute of Limitations (SOL) cases for Superfund sites with total unaddressed past costs equal to or greater than \$200,000 and report the value of costs recovered.

### **Superfund Potentially Responsible Party Participation**

Annual Performance Goal: In FY 2003, EPA will maximize all aspects of PRP participation, including 70% of the work conducted on new construction starts at non-Federal Facility Superfund sites, and emphasize fairness in the settlement process.

Measure: PRPs conduct 70% of the work at new construction starts.

## **Subobjective 5.1.8 - Facilitate Brownfield Redevelopment**

### **Brownfield Site Assessment Grants**

Annual Performance Goal: In FY 2003, EPA will provide additional site assessment funding to 74 new sites, and to 52 existing sites, resulting in a cumulative total of 3,350 properties assessed, the generation of 21,300 jobs, and the leveraging of \$5.0 billion in cleanup and redevelopment funds since 1995.

Measure: Cumulative leveraging of cleanup and redevelopment funds.

Measure: Cumulative jobs generated.

Measure: Cumulative site assessments.

Measure: Cooperative agreements to support Brownfields assessment pilots.

### **Brownfield Community Support**

Annual Performance Goal: In FY 2003, EPA will provide funding for 30 communities to capitalize revolving loan funds for a cumulative total of 182, provide funding for 10 job training pilots for a cumulative total of 66 and 70% of graduates placed in jobs, and support 28 existing Showcase Communities.

Measure: Cumulative communities served by cooperative agreements to capitalize revolving loan funds.

Measure: Cumulative job training pilots.

Measure: Cumulative showcase communities.

Measure: Percentage of trainees placed.

## **Subobjective 5.1.10 - Ensure Federal Preparedness**

### **Homeland Security**

Annual Performance Goal: In FY 2003, EPA will complete the remaining 27 critical facility vulnerability assessments, prioritize the risks associated with each facility, and begin mitigation.

Measure: Number of vulnerability assessments performed.

Annual Performance Goal: In FY 2003, EPA will improve its overall homeland security readiness capability by 20% by performing enhanced training and exercises and providing state-of-the-art equipment. Percentage improvement will be determined by annual readiness survey and inspections.

Measure: Percentage improvement in homeland security readiness.

Measure: Percentage of LEPCs that have incorporated homeland security prevention and planning into the community contingency plans.

Measure: Percentage of states that have incorporated homeland security planning into state response systems.

## **Objective 5.2 - Regulate Facilities to Prevent Releases**

By 2005, EPA and its federal, state, tribal, and local partners will ensure that more than 277,000 facilities are managed according to the practices that prevent releases to the environment.

## **Subobjective 5.2.3 - Ensure Effective Oil Pollution Prevention, Preparedness, and Response**

### **Oil Spill Prevention Compliance**

Annual Performance Goal: In FY 2003, 600 additional facilities will be in compliance with the Spill Prevention, Control and Countermeasure (SPCC) provisions of the oil pollution prevention regulations, for a cumulative total of 2,345 facilities since 1997.

Measure: Facilities in SPCC compliance.

### **Oil Spill Response & Monitoring**

Annual Performance Goal: In FY 2003, EPA will respond to or monitor 300 significant oil spills in the inland zone.

Measure: Oil spills responded to or monitored by EPA.

**G.C      SUBJECT MATTER EXPERTS**

The following table identifies the subject matter experts for Appendix G.

**EXHIBIT G.1 SUBJECT MATTER EXPERTS**

<b>Subject Matter Expert</b>	<b>Subject Area</b>	<b>Phone #</b>
Emily Johnson	GPRA	(703) 603-8764
Tony Raia	Brownfields	(202) 260-6837
Juanita Standifer	Brownfields	(202) 260-9192
Richard Jeng	Construction Completion	(703) 603-8749
Mark Mjones	Emergency Response/Removal	(703) 603-8727
Kevin Mould	Emergency Response/Removal	(703) 603-8728
Ray Worley	Emergency Response/Removal	(703) 603-8724
Pat Kennedy	Enforcement	(202) 564-6061
Melanie Hoff	Environmental Indicators	(703) 603-8808
Lance Elson	Federal Facility Enforcement	(202) 564-2577
Tracey Seymour	Federal Facility Enforcement	(703) 603-8712
Augusta Wills	Federal Facility Enforcement	(202) 564-2468
Marie Bell	Federal Facility Response	(202) 260-8427
Jim Konz	Five-Year Reviews	(703) 603-8841
Kim Jennings	Homeland Security	(202) 564-7998
Bud Hunt	Oil	(202) 603-8736
John J Smith	Pipeline Integration	(703) 603-8802
Tracy Hopkins	Post Construction	(703) 603-8788
Bruce Means	Remedy Selection	(703) 603-8815
Robert White	Response Appendix Coordinator	(703) 603-8873
Randy Hippen	Site Assessment	(703) 603-8829

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